

Standard Data Elements for Compliance Assistance
January 25, 2002

Compliance assistance includes activities, tools, or technical assistance that provides clear and consistent information for helping the regulated community understand and meet its regulatory obligations, or helping other compliance assistance providers (including government agencies, contractors and grantees) to aid the regulated community in complying with environmental regulations.

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
Compliance Assistance Provider Information <i>Definition:</i> Information about the organization offering or providing the compliance assistance. <i>Relationships:</i> A compliance assistance provider conducts one or more compliance assistance activities or products.				
1	Provider Agency Name	The name of the agency offering or providing the compliance assistance.		A(20)
2	Subprogram/Office Name	The name of the subprogram or office offering or providing the compliance assistance.		A(60)
3	Subprogram/Office Phone Number	The main phone number of the subprogram or office offering or providing the compliance assistance.		A(15)
Client/Recipient Information <i>Definition:</i> Information about an entity who received the compliance assistance. <i>Relationships</i> A client/recipient is associated with one or more compliance assistance activities or products. A client/recipient is associated with zero or more Facility Registry Identifiers (from the Facility Identification Data Standard). A client/recipient is associated with zero or more State Facility Identifiers (from the Facility Identification Data Standard). A client/recipient is associated with one or more Environmental Interest Types (from the Facility Identification Data Standard). <i>NOTE: Industrial classification codes are stored as part of the standard facility information.</i> A client/recipient is associated with zero or more North American Industry Classification (NAICS) Code (from the SIC/NAICS Data Standard). A client/recipient is associated with zero or more Standard Industrial Classification (SIC) Code (from the SIC/NAICS Data Standard).				
4	Non-Facility Client Name	The name of a non-facility client or recipient of the compliance	For example, other compliance assistance	A(100)

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Data Element Name		Data Element Definition	Notes	Format
		assistance.	providers such as a state or trade association.	
5	Client Type	<p>The type of client receiving the compliance assistance.</p> <p><i>Permissible Values:</i> Non-Governmental Organization Non-Profit Organization Trade Association State Agency Tribal Organization Local Agency Federal Agency Community Group Facility Industrial/Commercial Group Small Business</p>	<p>Choose all appropriate</p> <p>Small business is defined by USEPA Small Business Policy as a business with 100 or fewer employees.</p>	A(28)
6	Client Category	<p>The category of client or non-facility client receiving the compliance assistance.</p> <p><i>Permissible Values:</i> Compliance Assistance Provider Regulated Entity Non-regulated Entity Unknown</p>	Choose all appropriate.	A(30)
<p>Project/Initiative Information</p> <p><i>Definition:</i> Information on a compliance assistance effort developed for a program area, sector, or regulation using one or more approaches and tools.</p> <p><i>Relationships:</i> A project/initiative is associated with one or more compliance assistance activities or products.</p>				
7	Project/Initiative	Name of the new or existing		A(100)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
	Name	compliance effort developed for a program area, sector, or regulation using one or more approaches and tools.		
8	Project Start Date	The calendar date that the compliance assistance project/initiative began.		D(8) YYYYMMDD
9	Project End Date	The calendar date that the compliance assistance project/initiative ceased.		D(8) YYYYMMDD
Compliance Assistance Product Information <i>Definition:</i> Information on the compliance assistance product developed for an activity or project/initiative. <i>Relationships:</i> A compliance assistance product is associated with one name. A compliance assistance product is produced by one or more compliance assistance providers. A compliance assistance product is associated with one or more projects/initiatives. A compliance assistance product is associated with one or more activities.				
10	Compliance Assistance Product Name	The name of the compliance assistance product provided to the client.		A(100)
11	Compliance Assistance Product Date	The calendar date that production of the compliance assistance product was completed.		D(8) YYYYMMDD
12	Product Media	The medium or media on which the product is available. <i>Permissible Values:</i> Printed documents 35 mm slides Videotape CD (Compact Disc) DVD (Digital Versatile Disc) Audiotape Web posting	Choose all appropriate.	A(23)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
General Compliance Assistance Activity Information				
<i>Definition:</i> Information on the compliance assistance activity developed for a facility, area, or sector using a variety of approaches and tools.				
<i>Relationships:</i> A compliance assistance activity type is associated with zero or more clients. A compliance assistance activity type is associated with one or more providers. A compliance assistance activity type is associated with zero or more products. A compliance assistance activity type is associated with zero or more group assistance outcomes. A compliance assistance activity type is associated with zero or more facility assistance outcomes. A compliance assistance activity type is associated with zero or more projects or initiatives. A compliance assistance activity type is associated with one start date. A compliance assistance activity type is associated with one end date. A compliance assistance activity type is associated with one name. A compliance assistance activity type is associated with one or more locations.				
13	Compliance Assistance Activity Type	<p>The type of compliance assistance offered to the recipient.</p> <p><i>Permissible Values:</i> Client Visit - A type of onsite assistance specifically designed to help the client solve an environmental problem, reduce emissions and waste, and/or address a compliance issue.</p> <p>Data Review - A review of data provided by client, research, report preparation, or problem solving on behalf of the client, or other activity for client.</p> <p>Event - A workshop, meeting, conference, or training event that involves teaching or disseminating information to clients.</p> <p>Response to Inquiry - A response to an information request from any communications method, including phone, mail, e-mail, Web site, or fax, or any request for assistance or information as follow-up to a conference,</p>	The response to an information request can include answering a question; sending a printed or electronic document; or referring clients to other people, groups, agencies, a Web site or a document.	A(19)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		workshop, or other event by the program client. New Grant - A type of assistance that involves the grant of a monetary award to a company, agency, or program to support a specific project or activity.		
14	Compliance Assistance Activity Name	The name of the compliance assistance activity.		A(100)
15	Compliance Assistance Activity Start Date	The calendar date that the compliance assistance activity began.		D(8) YYYYMMDD
16	Compliance Assistance Activity End Date	The calendar date that the compliance assistance activity ceased.		D(8) YYYYMMDD
17	Compliance Assistance Activity Location City	The name of the city, town, or village where the compliance assistance activity took place.		A(30)
18	Compliance Assistance Activity Location State Code	The U.S. Postal Service alphabetic code that represents the U.S. state or territory where the compliance assistance activity took place.		A(2)
19	Compliance Assistance Activity Reason	The reason for providing the compliance assistance to the recipient. <i>Permissible Values:</i> Referral Agency Initiative/Priority Requested By Recipient/Client	The permissible value "Agency Initiative/Priority" also includes base program activities.	A(29)
Specific Compliance Activity Type Information <i>Definition:</i> Information on specific compliance assistance activity types developed for a facility, area, or sector using a variety of approaches and tools.				
20	Client Visit Purpose	The purpose of the onsite compliance assistance visit. <i>Permissible Values:</i>	Choose all appropriate. This data element is used only if the type of	A(41)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		Compliance Assistance Pollution Prevention Environmental Management Systems Training	Compliance Assistance Activity was "Client Visit."	
21	Results Communicated Date	The calendar date when results were communicated or report sent to the client as a result of review of data provided by client/research/report preparation/problem-solving on behalf of client/other activity for client.	This data element is used only if the type of Compliance Assistance Activity was "Data Review."	D(8) YYYYMMDD
22	Event Topic	The topic of the workshop, meeting, conference, or training event provided to the recipient. <i>Permissible Values:</i> Compliance With Environmental Regulations Pollution Prevention Environmental Management Systems Permit Development Conservation	This data element is used only if the type of Compliance Assistance Activity was "Event."	A(41)
23	Event Title	The title of the workshop, meeting, conference, or training event provided to the recipient.	This data element is used only if the type of Compliance Assistance Activity was "Event."	A(100)
24	Event Attendees	The number of persons attending the workshop, meeting, conference, or training event.	This data element is used only if the type of Compliance Assistance Activity was "Event."	N(6)
25	Inquiry Method	The forum from which the inquiry was received. <i>Permissible Values:</i> Hotline E-mail	This data element is used only if the type of Compliance Assistance Activity was "Response to Inquiry."	A(16)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		Web Site Hits Regular Mail Phone Call In Person		
26	Information Type Distributed	The type of information sent to the client/inquirer. <i>Permissible Values:</i> Fact sheet Checklist Manual Brochure Electronic information Audio visual product Letter Other: write in	Choose all appropriate. Only used if the type of Compliance Assistance Activity was "Response to Inquiry."	A(22)
27	Grant Amount	The dollar amount awarded to a company, agency, program, or other entity to support a specific project or activity.	This data element is used only if the type of Compliance Assistance Activity was "Received New Grant."	N(15)
28	Grant Purpose	The purpose for which the grant was awarded to the recipient. <i>Permissible Values:</i> Compliance Conservation Good Operating Practices Process Changes/Pollution Prevention Reuse/Recycling Technology Changes	Choose all appropriate. This data element is used only if the type of Compliance Assistance Activity was "Received New Grant." Grants are awarded in support of a specific project or activity. The grant should be linked to a project name, start and end dates or an activity name, start and end dates.	A(36)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		Other: write-in		
Group Compliance Assistance Outcome Information <i>Definition:</i> Information on changes in awareness, understanding, behavior; and the financial and environmental benefits achieved as result of a compliance assistance activity or product provided or distributed to a group (as opposed to one-on-one assistance given to a facility). <i>Relationship:</i> An outcome is associated with one compliance assistance activity or product. A compliance assistance activity or product may be associated with one or more outcomes.				
29	Follow-up Method	The instrument or method used to assess the effectiveness of a compliance assistance activity. <i>Permissible Values:</i> Evaluation Form Distributed at Event Pre- and Post-Test Distributed at Event Mailed Survey Telephone E-mail Onsite Visit Report Submitted by Client		A(36)
30	Total Number Distributed/Conducted	The total number of surveys, evaluation forms sent/issued or e-mail/verbal inquiries made for a compliance assistance activity.	The total number distributed/conducted is linked to a compliance activity name, start and end dates.	N(6)
31	Total Number of Responses	The total number of responses per year received from inquiries related to a compliance assistance activity.	The total number of responses is linked to a compliance activity name, start and end dates.	N(6)
32	Number with Increased Awareness	The number of respondents indicating that they have acquired an increased awareness and understanding of environmental regulations and/or pollution prevention	The number of respondents with increased awareness is linked to a compliance activity name, start and end dates.	N(6)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		opportunities after pollution prevention/compliance assistance was provided.		
33	Number of Intended or Reported Behavioral Changes	The number of respondents indicating that they have made or intend to make behavioral changes after pollution prevention/compliance assistance was provided.	The number intended/reported behavioral changes is linked to a compliance activity name, start and end dates.	N(6)
34	Number of Verified Behavioral Changes	The number of respondents that have made provider verified behavioral changes after pollution prevention/compliance assistance was provided.	The number of behavioral changes is linked to a compliance activity name, start and end dates.	N(6)
Facility Compliance Assistance Outcome Information <i>Definition:</i> Information on changes in awareness, understanding, behavior; and the financial and environmental benefits achieved as the result of a compliance assistance activity. Facility-based information is captured on a yearly basis. <i>Relationship:</i> A facility outcome is associated with one compliance assistance activity or product. A compliance assistance activity or product may be associated with one or more facility outcomes.				
35	Increased Awareness	The client/recipient indicated that they have acquired an increased awareness and understanding of environmental regulations and/or pollution prevention opportunities after pollution prevention/compliance assistance provided. <i>Permissible Values:</i> Y - Yes N - No		A(1)
36	Intend to Make Behavioral Changes	The client/recipient indicated that they intend to make behavioral changes after pollution prevention/compliance assistance provided. <i>Permissible Values:</i> Y - Yes N - No U - Unknown		A(1)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
37	Made Behavioral Change(s)	<p>Indicates whether the client/recipient made behavioral changes after pollution prevention/compliance assistance was provided.</p> <p><i>Permissible Values:</i> Reported - Behavioral change was reported by client/recipient but not verified by provider.</p> <p>Verified - Behavioral change was reported by client/recipient and verified by provider.</p> <p>No Change - Client/recipient did not report a behavioral change.</p>		A(10)
38	Suggestions Implemented	<p>Indicates whether the client/recipient implemented at least one of the pollution prevention/compliance assistance suggestions provided.</p> <p><i>Permissible Values:</i> Reported - Implementation of pollution prevention/compliance assistance suggestions was reported by client/recipient but not verified by provider.</p> <p>Verified - Implementation of pollution prevention/compliance assistance suggestions verified by provider.</p> <p>No Change - Client/recipient did not report implementation of pollution prevention/compliance assistance suggestions.</p>		A(10)
39	Return to Compliance	<p>Indicates whether the client/recipient returned to compliance for at least one compliance problem.</p> <p><i>Permissible Values:</i> Reported - Return to compliance was reported but not verified by provider.</p>	Choose all appropriate.	A(47)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		<p>Verified - Return to compliance verified by provider.</p> <p>No Change - Client/recipient did not report a return to compliance.</p> <p>Came Into Compliance Using Pollution Prevention - Client/recipient returned to compliance for at least one compliance problem using pollution prevention.</p>		
40	Type of Increased Awareness and Understanding	<p>The type of awareness or understanding that was increased at a facility as a result of compliance assistance activity.</p> <p><i>Permissible Values:</i> Environmental Regulations</p> <p>Pollution Prevention Opportunities</p> <p>Environmental Management Systems</p>		A(34)
41	Behavioral Change Type	<p>The type of behavioral change(s) that occurred at a facility as a result of compliance assistance activity.</p> <p><i>Permissible Values:</i> Action Taken to Comply with Environmental Regulations</p> <p>Establish an Environmental Management Systems</p> <p>Pollution Prevention/Process Changes</p> <p>Conservation Program</p>	Choose all appropriate.	A(53)
42	Type of Action Taken to Comply with Environmental	The type of action taken by a facility to comply with environmental regulations as a	Choose all appropriate. Corrected Management	A(45)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
	Regulations	<p>result of compliance assistance activity.</p> <p><i>Permissible Values:</i></p> <p>Corrected Record Keeping Deficiencies</p> <p>Corrected Monitoring Deficiencies</p> <p>Completed a Notification or a Report</p> <p>Requested a Permit Application</p> <p>Corrected Management Practices or Procedures</p> <p>Implemented New/Improved Management Procedure</p> <p>Improved Pollutant Identification</p> <p>Reduced Pollution</p> <p>Other: write in</p>	<p>Practices or Procedures includes, e.g., aisle space, etc.</p> <p>Implemented New/Improved Management Procedure includes, e.g., Environmental Management Systems, Audits, etc.</p> <p>Improved Pollutant Identification includes, e.g., labeling, manifesting, storage, etc.</p> <p>Reduced Pollution includes e.g., use reduction, industrial process change, emissions or discharge change, etc.</p>	
43	Conservation/Restoration Type	<p>The type of material restored or conserved as a result of implementing a pollution prevention and/or compliance assistance recommendation.</p> <p><i>Permissible Values:</i></p> <p>Energy</p> <p>Water</p> <p>Wetland</p> <p>Land</p> <p>Raw Materials</p>	Land covers soil, acreage, buildings.	A(7)